Docket No.: 176/60192 (6 11405 675/676)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Joseph D. Rosenblatt, Pia Challin-Fid, Sherie Morrison, Camille N. Abboud,

Seung-Uon Shin

Serial No. : 09/016,743

Filed January 30, 1998

CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT

AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE

TRANSMITTAL LETTER

Assistant Commissioner For Patents

Washington, D.C. 20231 **Box: Missing Parts**

Dear Sir:

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 For

In response to the Notice to File Missing Parts of Application Under 37 CFR 1.53(d) which was mailed by the United States Patent and Trademark Office on March 18, 1998, enclosed are:

- Two Combined Declarations and Powers of Attorney.
- A Request for Two-Month Extension of Time. X
- Two verified statements to establish small entity status under 37 CFR 1.9 and 1.27. [X]
- A Request for Corrected Filing Receipt and copy of Official Filing Receipt. [X]
- A copy of the Notice to File Missing Parts. [X]
- A self-addressed, prepaid postcard for acknowledging receipt. [X]
- Fees as calculated below: X

FEE FOR TWO-MONTH EXTENSION OF TIME

\$200.00

SURCHARGE 37 CFR 1.16(e)

\$ 65.00

ADDITIONAL FEES

\$

TOTAL FEES SUBMITTED HEREWITH

\$265.00

- A check in the amount of \$265.00 to cover the above fees. [X]
- The Commissioner is hereby authorized to charge any additional fees which may be [X]required, or credit any overpayment, to Deposit Account No. 14-1138. A duplicate copy of this sheet is enclosed.

Date:

07/22/1998 MPEOPLES 00000026 09016743

01 FC:216 02 FC:205

200.00 OP Nixon, Hargrave, Devails & Doyle LLP Clinton Square, P.O. Box 1051 Rochester, New York 14603

Telephone: (716) 263-1741 Facsimile: (716) 263-1600

R191372.1

Dennis M. Connolly

Registration No. 40,964

Certificate of Mailing - 37 CFR 1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below.

Uy 13 1998 Date

Ruth R. Smith

JUL 1 6 1996 AUTORNEY'S DOCKET NUMBER \$76/60192 (6-11405-

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE The specification of which (check only one item below): [] is attached hereto. [X] was filed as United States application Serial No. 09/016,743 On January 30, 1998 and was amended under PCT Article 19 on							
he specification of which (check only one item below):							
[] is attached hereto.							
[X] was filed as United States application Serial No. 09/016,743 on January 30, 1998 and was amended under PCT Article 19 on (if applicable).							5 -: 0 -29
[] was filed as on	[] was filed as PCT international application Number on and was amended under PCT Article 19 on (if applicable).						
(if applicab	le).				of +	ho showe-ider	rified
I hereby state that specifications, incl	uding the	claims,	as amend	ed by any ame	namene re		1
I acknowledge the du this application in	accordanc	e with T	rcie 3/,	code of reder	ar nogar-		1
I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States listed below and have also identified below any foreign application(s) for patent or inventor's and have also identified below any foreign application(s) designating at least one country other certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:							
27 Pri					·········		
PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119: DATE OF FILING (day, month, year) PRIORITY CLAIMED (day, month, year)			LAIMED SC 119				
United States	FCI, Indicate 101, 111111111111111111111111111111111] NO			
United States 60/		0/064,018		03, Nov. 199	97		
I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT International filing date of this application:							
national or PCT Interpretation PRIOR U.S. APPLICAT	IONS OR P	CT INTER	NATIONAL .	APPLICATIONS	DESIGNATI	NG THE U.S. I	FOR BENEFIT
UNDER 35 U.S.C. 120	:	<u> </u>				Check One)	
	PPLICATIO		TI C T	FILING DATE	PATENTE		ABANDONED
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PCT APPLIATION NO.	PC	CT G DATE	U.S. SE	RIAL NUMBERS D (if any)			
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COMBINED DECLARATION FOR PATENT APPLICATION ATTORNEY'S DOCKET NUMBER AND POWER OF ATTORNEY (Continue) 176/60192 (6-11405-675/676)

POWER OF ATTORNEY: As a named inventor, I hereby application for patents and the following attorney (s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number)

Michael L. Goldman, Reg. No. 30,727; Dennis M. Connolly, Reg. No. 40,964;

Peter Rogalskyj, Reg. No. 38,601

Send Correspondence to: Michael L. Goldman, Esq. Nixon, Hargrave, Devans & Doyle LLP Clinton Square, P. O. Box 1051

Direct Telephone Calls to: (name and telephone number) Michael L. Goldman

		quare, P. O. Box 1051 , New York 14603		Michael L. Goldman (716)263-1304
	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
2		Rosenblatt	Joseph	D.
0	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNT	RY COUNTRY OF CITIZENSHIP
,	, 	Rochester	New York	United States
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
	.,	88 Southern Parkway	Rochester	New York 14618/USA
	FULL NAME OF	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
2	JŅVENTOR	Challita-Eid	Pia	
0 2	RESIDENCE &	CITY	STATE/FOREIGN COUNT	RY COUNTRY OF CITIZENSHIP
		Rochester	New York	Lebanon
	POST OFFICE	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
	1783 1884	517 Richardson Road	Rochester	New York 14623/USA
	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
2	# ##:	Morrison Sherie		
3	RESIDENCE &	CITY		
	F 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7	Los Angeles	ngeles California	
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
		258 Denslow Avenue	Los Angeles	California 90049/USA
	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
2		Abboud	Camille	N.
0 4	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNT	
	4	Rochester	New York	United States
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
		485 Clover Hills Drive	Rochester	New York 14618/USA
	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
2		Shin	Seung-Uon	
0 5	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNT	
		Los Angeles	California	United States
	POST OFFICE ADDRESS	P.O. ADDRESS 3261 S. Sepulveda	CITY	STATE & ZIP CODE/CTRY
}		Blvd., Apt. 208	Los Angeles	California 90034/USA

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201

SIGNATURE OF INVENTOR 202

SIGNATURE OF INVENTOR 203

DATE

SIGNATURE OF INVENTOR 204

SIGNATURE OF INVENTOR 205

SIGNATURE OF INVENTOR 206

DATE

DATE ROC10:121265

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A. Arab M. Thur. B. A. Arab.

That the that

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5/12/98

DATE

Page 3 of 3

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COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (Includes Reference to PCT International Applications) As a below named inventor, I hereby declare that RADEM

JUL 1 6 1998

ATTORNEY'S DOCKET NUMBER 176/60192 (6-11405-675/676)

My residence, post office address and citizenship are as stated below next to my name.

T am the existinal fina 0 0 е

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:							
CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE							
the specification of which	(check only	one ite	m below):				
[] is attached hereto	·.						
[\mathbf{x}_{1}^{\dagger} was filed as Unite on <u>January 30, 19</u> (if applicable).	ed States app 198 and was	lication s amende	Serial No. d under PCT	09/01 Article	6,74 19	3 on	
[] was filed as PCT i on (if applicable).					on _		
I hereby state that I have specifications, including	reviewed and the claims, a	d unders as amend	tand the con ed by any am	tents of endment	f the	e above-ide erred to ab	entified oove.
I acknowledge the duty to this application in accord							
I hereby claim foreign pri foreign application(s) for application(s) designating and have also identified b certificate or any PCT int than the United States of date before that of the ap	patent or in at least one elow any fore ernational ap America filed	nventor' e countr eign app oplicati d by me	s certificat y other than lication(s) on(s) design on the same	e or of the Un: for pate ating at subject	any ited ent d t lea mat	PCT intern States lis or inventor ast one cou	national sted below s's untry other
PRIOR FOREIGN/PCT APPLICAT	ION(S) AND AN	NY PRIOR	ITY CLAIMS U	NDER 35	U.S	.C. 119:	
COUNTRY (IF PCT, indicate "PCT")	APPLICATION	NUMBER	DATE OF FI (day, month,		-	PRIORITY C	
United States	60/037,256		31, Jan. 19	97		[X] YES [NO NO
United States	60/064,018		03, Nov. 19	97		[X] YES [] NO
I hereby claim the benefit application(s) or PCT inte America that is/are listed of this application is not provided by the first paraduty to disclose material § 1.56(a) which occurred be national or PCT Internation	rnational app below and, in disclosed in graph of Title information a etween the fi	plicatio insofar n that/t le 35, U as defin iling da	n(s) designa as the subje hose prior a nited States ed in Title te of the pr	ting the ct matter pplicate Code, 37, Code ior app	e Un er o ion(§ 11 e of	ited States f each of t s) in the m 2, I acknow Federal Re	s of the claims manner vledge the egulations,
PRIOR U.S. APPLICATIONS OR UNDER 35 U.S.C. 120:	PCT INTERNA	TIONAL A	PPLICATIONS	DESIGNA'	TING	THE U.S. E	FOR BENEFIT
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U.S. SERIAL NUMBERS

ASSIGNED (if any)

PCT

APPLICATION NO.

PCT

FILING DATE

COMBINED DECLARATION FOR PATENT APPLICATION JUL 1 6 1998
AND POWER OF ATTORNEY (Continue)

ATTORNEY'S DOCKET NUMBER \$ 6/60192 (6-11405-675/676)

POWER OF ATTORNEY: As a named inventor, I hereby a point the collowing attorney(s) and/or agent(s) to prosecute this application and transact at Manual less in the Patent and Trademark Office connected therewith. (List name and registration number)

Michael L. Goldman, Reg. No. 30,727; Dennis M. Connolly, Reg. No. 40,964; Peter Rogalskyj, Reg. No. 38,601

Send Correspondence to: Michael L. Goldman, Esq.
Nixon, Hargrave, Devans & Doyle LLP
Clinton Square, P. O. Box 1051
Poshester New York 14603

Direct Telephone Calls to: (name and telephone number) Michael L. Goldman

Clinton Square, P. O. Box 1051 Rochester, New York 14603				Michael L. Goldman (716)263-1304		
	FULL NAME	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAM	Œ	
2	OF INVENTOR	Rosenblatt	Joseph	D.		
0	RESIDENCE &	CITY	STATE/FOREIGN COUNT	RY COUNTRY OF CITIZ	ENSHIP	
	CITIZENSHIP	Rochester	New York	United States		
	POST OFFICE	P.O. ADDRESS	CITY	STATE & ZIP CODE	/CTRY	
	ADDRESS	88 Southern Parkway	Rochester	New York 14618/U	New York 14618/USA	
		FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAM	Œ	
2	FULL NAME OF	Challita-Eid	Pia			
0	RESIDENCE &	CITY	STATE/FOREIGN COUNT	RY COUNTRY OF CITIZ	ENSHIP	
	CITIZENSHIP	Rochester	New York	Lebanon		
	POST OFFICE	P.O. ADDRESS	CITY	STATE & ZIP CODE	CTRY	
	ADDRESS	517 Richardson Road	Rochester	New York 14623/U	New York 14623/USA	
	FULL NAME OF	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAM	ΙE	
2	inventor :*:	Morrison	Sherie			
0	RESIDENCE &	CITY	STATE/FOREIGN COUNT	RY COUNTRY OF CITIZ	ZENSHIP	
	CITIZENSHIP	Los Angeles	California	United States		
	POST OFFICE	P.O. ADDRESS	CITY	STATE & ZIP CODE	E/CTRY	
	ADDRESS	258 Denslow Avenue	Los Angeles	California 90049	California 90049/USA	
	FULL NAME OF	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAM	Œ	
2	INVENTOR	Abboud	Camille	N.		
0 4	RESIDENCE &	CITY	STATE/FOREIGN COUN	RY COUNTRY OF CITIZ	ZENSHIP	
	CITIZENSHIP	CITIZENSHIP Rochester New York		United States		
	POST OFFICE	P.O. ADDRESS	CITY	STATE & ZIP CODI	E/CTRY	
	ADDRESS	485 Clover Hills Drive	Rochester	New York 14618/	JSA	
	FULL NAME OF	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAI	ΜE	
2	INVENTOR	Shin	Seung-Uon			
0 5	RESIDENCE &	CITY	STATE/FOREIGN COUN	'RY COUNTRY OF CITI	ZENSHIP	
	CITIZENSHIP	CIZENSHIP Los Angeles California		United States		
	POST OFFICE	P.O. ADDRESS	CITY	STATE & ZIP COD	E/CTRY	
	ADDRESS	3261 S. Sepulveda Blvd., Apt. 208	Los Angeles	California 9003	4/USA	

Page 2 of 3

ROC10:121265

I hereby declare that all statement's made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.

SIIS SEPELESCOLOTE OF SITE PROPERTY		
SIGNATURE OF INVENTOR 201	SIGNATURE OF INVENTOR 202	SIGNATURE OF INVENTOR 203 Sherie L. Morvier
DATE	DATE	DATE 5/1H/98
SIGNATURE OF INVENTOR 204	SIGNATURE OF INVENTOR 205	SIGNATURE OF INVENTOR 206
DATE	DATE 6/25/98	DATE

ROC10:121265

Page 3 of 3

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NAME OF CONCERN_

1 .07	
	Joseph D. Rosenblatt, Pia Challita-Eid Sherie Morrison, Camille N. Abboud, Seung-Uon Shin
Application Applic	Sherie Morrison, Camille N. Abboud, Seung-Uon Shin
Attorney's Docket No.:	176/60192
Serial or Patent No.:_	09/016,743
Filed or Issued:	January 30, 1998
For: CHIMERIC ANTIBOD	Y FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION
OF AN ANTITUMOR	

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

University of Rochester

ADDRE	SS OF	CONCERN 518 Hylan Building
		Rochester, New York 14627-0140
TYPE	OF ORG	GANIZATION
	[x]	UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
	[]	TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(c)(3)
	r i	NONPROFIT SCIENTIFIC OR EDUCATION UNDER STATUTE OF STATE OF THE
		UNITED STATES OF AMERICA (NAME OF STATE)
		(CITATION OF STATUTE)
	٦٦	WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE
		(26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF
		AMERICA
	Γī	WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE
		OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED
		STATES OF AMERICA (NAME OF STATE)
		(CITATION OF STATUTE

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE by inventor(s) Joseph D. Rosenblatt, Pia Challita-Eid, Sherie Morrison, Camille N. Abboud, and Seung-Uon Shin described in

[]	the specification file	d herewith				
	application serial no.		filed	January	30,	1998
[]	patent no	, issued_				

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

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- Calle Waterweiter of Colifornia
NAME The Regents of the University of California ADDRESS 300 Lakeside Drive, 22nd Floor, Oakland, California 94612-3550
[] INDIVIDUAL [] SMALL BUSINESS CONCERN [X] NONPROFIT ORGANIZATION
NAME
ADDRESS [] INDIVIDUAL [] SMALL BUSINESS CONCERN [] NONPROFIT ORGANIZATION
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.
NAME OF PERSON SIGNING Robert R. Goodwin, Ph.D.
TITLE OF PERSON OTHER THAN OWNER Director, Office of Technology Transfer
ADDRESS OF PERSON SIGNING University of Rochester
518 Hylan Building
Rochester, New York 14627-0140\
SIGNATURE DATE 4 ZI 98

NAME OF CONCERN_

ADDRESS OF CONCERN___

La maria	Joseph D. Rosenblatt, Pia Challita-Eid Sherie Morrison, Camille N. Abboud, Seung-Uon Shin
Apple Manta All Patentee:	Sherie Morrison, Camille N. Abboud, Seung-Uon Shin
Attorney's Docket No.:	176/60192
Serial or Patent No.:_	
Filed or Issued:	January 30, 1998
For: CHIMERIC ANTIBOD	Y FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION
OF AN ANTTHIMOP	

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

The Regents of the University of California

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

300 Lakeside Drive, 22nd Floor

		Oakland, California 94612-3550
TYPE	OF ORG	SANIZATION
	[x]	UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
	[]	TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(c)(3)
	[]	NONPROFIT SCIENTIFIC OR EDUCATION UNDER STATUTE OF STATE OF THE
		UNITED STATES OF AMERICA (NAME OF STATE)
		(CITATION OF STATUTE)
	[]	WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE
		(26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF
		AMERICA
	r 1	WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE
		OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED
		STATES OF AMERICA (NAME OF STATE)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE by inventors Joseph D. Rosenblatt, Pia Challita-Eid, Sherie Morrison, Camille N. Abboud, and Seung-Uon Shin described in

(CITATION OF STATUTE__

[] the specification filed herewith
[X] application serial no. _______, filed January 30, 1998
[] patent no. _______, issued _______

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME University of Rochester
ADDRESS 518 Hylan Building, Rochester, New York 14627-0140
[] INDIVIDUAL [] SMALL BUSINESS CONCERN [X] NONPROFIT ORGANIZATION
NAME
ADDRESS
[] INDIVIDUAL [] SMALL BUSINESS CONCERN [] NONPROFIT ORGANIZATION
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is relonger appropriate. (37 CFR 1.28(b))
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.
NAME OF PERSON SIGNING EMILY E. WALDRON
TITLE OF PERSON OTHER THAN OWNER Technology Transfer Officer
ADDRESS OF PERSON SIGNING The Regents of the University of California
300 Lakeside Drive, 22nd Floor
Oakland, California 94612-3550

JUNE 26, 1998

_DATE